

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Avi Ashkenazi, et al. Serial No.: Filed Herewith Filed: July 30, 2001 For: <i>Secreted and Transmembrane Polypeptides and Nucleic Acids Encoding the Same</i>	Group Art Unit: Unknown Examiner: Unknown
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CERTIFICATE RE: SEQUENCE LISTING

RESPONSE UNDER 37 CFR § 1.821(f) and (g)

Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

I hereby state that the Sequence Listing submitted herewith is submitted in paper copy and a computer-readable diskette, and that the information recorded in computer readable form is identical to the written sequence listing. I further state that this submission includes no new matter.

Respectfully submitted,

GENENTECH, INC.

By: Elizabeth M. Barnes
Elizabeth M. Barnes, Ph.D.
Reg. No. 35,059
Telephone No. (650) 225-4563



09157

PATENT TRADEMARK OFFICE

07/30/01
U.S. PTO
131101

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Attorney Docket P2630P1C1
PATENT

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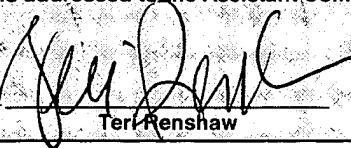
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07/30/01

CERTIFICATION UNDER 37 CFR 1.10

EL 809 448 994 US: Express Mail Number

July 30, 2001: Date of Deposit

I hereby certify that this Non-provisional Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231.


Teri Renshaw

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION
Assistant Commissioner of Patents
Washington, D.C. 20231

NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

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William I. Wood, Hillsborough, CA

Title: SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS
ENCODING THE SAME

1. Type of Application

This application is for an original, non-provisional application.

This is a non-provisional application claiming priority to provisional application no. __, filed __, the entire disclosure of which is hereby incorporated by reference.

This is a continuation-in-part continuation divisional application claiming priority to application Serial Numbers: 60/062250 filed October 17, 1997; 60/064249 filed November 3, 1997; 60/065311 filed November 13, 1997; 60/066364 filed November 21, 1997; 60/077450 filed March 10, 1998; 60/077632 filed March 11, 1998; 60/077641 filed March 11, 1998; 60/077649 filed March 11, 1998; 60/077791 filed March 12, 1998; 60/078004 filed March 13, 1998; 60/078886 filed March 20, 1998; 60/078936 filed March 20, 1998; 60/078910 filed March 20, 1998; 60/078939 filed March 20, 1998; 60/079294 filed March 25, 1998; 60/079656 filed March 26, 1998; 60/079664 filed March 27, 1998; 60/079689 filed March 27, 1998; 60/079663 filed March 27, 1998; 60/079728 filed March 27, 1998; 60/079786 filed March 27, 1998; 60/079920 filed March 30, 1998; 60/079923 filed March 30, 1998; 60/080105 filed March 31, 1998; 60/080107 filed March 31, 1998; 60/080165 filed March 31, 1998; 60/080194 filed March 31, 1998; 60/080327 filed April 1, 1998; 60/080328 filed April 1, 1998; 60/080333 filed April 1, 1998; 60/080334 filed April 1, 1998; 60/081070 filed April 8, 1998; 60/081049 filed April 8, 1998; 60/081071 filed April 8, 1998; 60/081195 filed April 9, 1998; 60/081203 filed April 9, 1998; 60/081229 filed April 9, 1998; 60/081955 filed April 15, 1998; 60/081817 filed April 15, 1998; 60/081819 filed April 15, 1998; 60/081952 filed April 15, 1998; 60/081838 filed April 15, 1998; 60/082568 filed April 21, 1998; 60/082569 filed April 21, 1998; 60/082704 filed April 22, 1998; 60/082804 filed April 22, 1998; 60/082700 filed April 22, 1998; 60/082797 filed April 22, 1998; 60/082796 filed April 23, 1998; 60/083336 filed April 27, 1998; 60/083322 filed April 28, 1998; 60/083392 filed April 29, 1998; 60/083495 filed April 29, 1998; 60/083496 filed April 29, 1998; 60/083499 filed April 29, 1998; 60/083545 filed April 29, 1998; 60/083554 filed April 29, 1998; 60/083558 filed April 29, 1998; 60/083559 filed April 29, 1998; 60/083500 filed April 29, 1998; 60/083742 filed April 30, 1998; 60/084366 filed May 5, 1998; 60/084414 filed May 6, 1998; 60/084441 filed May 6, 1998; 60/084637 filed May 7, 1998; 60/084639 filed May 7, 1998; 60/084640 filed May 7, 1998; 60/084598 filed May 7, 1998; 60/084600 filed May 7, 1998; 60/084627 filed May 7, 1998; 60/084643 filed May 7, 1998; 60/085339 filed May 13, 1998; 60/085338 filed May 13, 1998; 60/085323 filed May 13, 1998; 60/085582 filed May 15, 1998; 60/085700 filed May 15, 1998; 60/085689 filed May 15, 1998; 60/085579 filed May 15, 1998; 60/085580 filed May 15, 1998; 60/085573 filed May 15, 1998; 60/085704 filed May 15, 1998; 60/085697 filed May 15, 1998; 60/086023 filed May 18, 1998; 60/086430 filed May 22, 1998; 60/086392 filed May 22, 1998; 60/086486 filed May 22, 1998; 60/086414 filed May 22, 1998; 60/087208 filed May 28, 1998; 60/087106 filed May 28, 1998; 60/087098 filed May 28, 1998; 60/091010 filed June 26, 1998; 60/090863 filed June 26, 1998; 60/091359 filed July 1, 1998; 60/094651 filed July 30, 1998; 60/100038 filed September 11, 1998; 60/109304 filed November 20, 1998; 60/113296 filed December 22, 1998; 60/113621 filed December 23, 1998; 60/123957 filed March 12, 1999; 60/126773 filed March 29, 1999; 60/130232 filed April 21, 1999; 60/131022 filed April 26, 1999; 60/131445 filed April 28, 1999; 60/134287 filed May 14, 1999; 60/139557 filed June 16, 1999; 60/141037 filed June 23, 1999; 60/142680 filed July 7, 1999; 60/145698 filed July 26, 1999; 60/146222 filed July 28, 1999; 60/162506 filed October 29, 1999; 09/040220 filed March 17, 1998; 09/105413 filed June 26, 1998; 09/168978 filed October 7, 1998; 09/184216 filed November 2, 1998; 09/187368 filed November 6, 1998; 09/202054 filed December 7, 1998; 09/218517 filed December

22, 1998; 09/254465 filed March 5, 1999; 09/265686 filed March 10, 1999; 09/267213 filed March 12, 1999; 09/284291 filed April 12, 1999; 09/311832 filed May 14, 1999; 09/380137 filed August 25, 1999; 09/380138 filed August 25, 1999; 09/380142 filed August 25, 1999; 09/709238 filed November 8, 2000; 09/723749 filed November 27, 2000; 09/747259 filed December 20, 2000; 09/816744 filed March 22, 2001; 09/816920 filed March 22, 2001; 09/854280 filed May 10, 2001; 09/854208 filed May 10, 2001; 09/872035 filed June 1, 2001; 09/874503 filed June 5, 2001; 09/882636 filed June 14, 2001; 09/886342 filed June 19, 2001; PCT/US98/21141 filed October 7, 1998; PCT/US98/24855 filed November 20, 1998; PCT/US99/00106 filed January 5, 1999; PCT/US99/05028 filed March 8, 1999; PCT/US99/05190 filed March 10, 1999; PCT/US99/10733 filed May 14, 1999; PCT/US99/12252 filed June 2, 1999; PCT/US99/28313 filed November 30, 1999; PCT/US99/28551 filed December 2, 1999; PCT/US99/28565 filed December 2, 1999; PCT/US99/30095 filed December 16, 1999; PCT/US99/31243 filed December 30, 1999; PCT/US99/31274 filed December 30, 1999; PCT/US00/00219 filed January 5, 2000; PCT/US00/00277 filed January 6, 2000; PCT/US00/00376 filed January 6, 2000; PCT/US00/03565 filed February 11, 2000; PCT/US00/04341 filed February 18, 2000; PCT/US00/05841 filed March 2, 2000; PCT/US00/07532 filed March 21, 2000; PCT/US00/05004 filed February 24, 2000; PCT/US00/06319 filed March 10, 2000; PCT/US00/08439 filed March 30, 2000; PCT/US00/13705 filed May 17, 2000; PCT/US00/14042 filed May 22, 2000; PCT/US00/14941 filed May 30, 2000; PCT/US00/15264 filed June 2, 2000; PCT/US00/20710 filed July 28, 2000; PCT/US00/23328 filed August 24, 2000; PCT/US00/32678 filed December 1, 2000; PCT/US00/34956 filed December 20, 2000; PCT/US01/06520 filed February 28, 2001; PCT/US01/09552 filed March 22, 2001; PCT/US01/17092 filed May 25, 2001; PCT/US01/17800 filed June 1, 2001; PCT/US01/19692 filed June 20, 2001; PCT/US01/21066 filed June 29, 2001; PCT/US01/21735 filed July 9, 2000, the entire disclosure of which is hereby incorporated by reference.

**2. Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b)
(Non-provisional)**

379 pages of specification
13 pages of claims
1 page(s) of abstract
237 sheet(s) of drawings
[X] formal informal

3. Declaration or Oath

(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)

X An executed declaration of the inventor(s) [X] is enclosed (UNSIGNED) will follow.

(for Cont./Div. where inventorship is the same or inventor(s) being deleted)

— A copy of the executed declaration/oath filed in the prior application is enclosed (37 CFR 1.63(d)).

(for Cont./Div. where inventor(s) being deleted)

— A signed statement is attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b)).

4. **Assignment**

(for new and CIP applications)

An Assignment of the invention to GENENTECH, INC. [] is enclosed with attached Recordation Form Cover Sheet [X] will follow.

(for cont./div.)

The prior application is assigned of record to Genentech, Inc.

5. **Amendments (for continuation and divisional applications)**

Cancel in this application original claims ___ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

Relate Back -- 35 U.S.C. 120 or 35 U.S.C. 119

Amend the specification by inserting before the first line the sentence:

--This is a

non-provisional application
 continuation
 divisional
 continuation-in-part

of applications

U.S. serial numbers: 09/040220 filed March 17, 1998; 09/105413 filed June 26, 1998; 09/168978 filed October 7, 1998; 09/184216 filed November 2, 1998; 09/187368 filed November 6, 1998; 09/202054 filed December 7, 1998; 09/218517 filed December 22, 1998; 09/254465 filed March 5, 1999; 09/265686 filed March 10, 1999; 09/267213 filed March 12, 1999; 09/284291 filed April 12, 1999; 09/311832 filed May 14, 1999; 09/380137 filed August 25, 1999; 09/380138 filed August 25, 1999; 09/380142 filed August 25, 1999; 09/709238 filed November 8, 2000; 09/723749 filed November 27, 2000; 09/747259 filed December 20, 2000; 09/816744 filed March 22, 2001; 09/816920 filed March 22, 2001; 09/854280 filed May 10, 2001; 09/854208 filed May 10, 2001; 09/872035 filed June 1, 2001; 09/874503 filed June 5, 2001; 09/882636 filed June 14, 2001; 09/886342 filed June 19, 2001, which applications are incorporated herein by reference and to which applications priority is claimed under 35 USC §120 and

PCT international application numbers: PCT/US98/21141 filed October 7, 1998; PCT/US98/24855 filed November 20, 1998; PCT/US99/00106 filed January 5, 1999; PCT/US99/05028 filed March 8, 1999; PCT/US99/05190 filed March 10, 1999; PCT/US99/10733 filed May 14, 1999; PCT/US99/12252 filed June 2, 1999; PCT/US99/28313 filed November 30, 1999; PCT/US99/28551 filed December 2, 1999; PCT/US99/28565 filed December 2, 1999; PCT/US99/30095 filed December 16, 1999; PCT/US99/31243 filed December 30, 1999; PCT/US99/31274 filed December 30, 1999; PCT/US00/00219 filed January 5, 2000; PCT/US00/00277 filed January 6, 2000; PCT/US00/00376 filed January 6, 2000; PCT/US00/03565 filed February 11, 2000; PCT/US00/04341 filed February 18, 2000; PCT/US00/05841 filed March

2, 2000; PCT/US00/07532 filed March 21, 2000; PCT/US00/05004 filed February 24, 2000; PCT/US00/06319 filed March 10, 2000; PCT/US00/08439 filed March 30, 2000; PCT/US00/13705 filed May 17, 2000; PCT/US00/14042 filed May 22, 2000; PCT/US00/14941 filed May 30, 2000; PCT/US00/15264 filed June 2, 2000; PCT/US00/20710 filed July 28, 2000; PCT/US00/23328 filed August 24, 2000; PCT/US00/32678 filed December 1, 2000; PCT/US00/34956 filed December 20, 2000; PCT/US01/06520 filed February 28, 2001; PCT/US01/09552 filed March 22, 2001; PCT/US01/17092 filed May 25, 2001; PCT/US01/17800 filed June 1, 2001; PCT/US01/19692 filed June 20, 2001; PCT/US01/21066 filed June 29, 2001; PCT/US01/21735 filed July 9, 2001, which designated the U.S., which applications are incorporated herein by reference and to which applications priority is claimed under 35 USC §120 and

X a! ref 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134 135 136 137 138 139 140 141 142 143 144 145 146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162 163 164 165 166 167 168 169 170 171 172 173 174 175 176 177 178 179 180 181 182 183 184 185 186 187 188 189 190 191 192 193 194 195 196 197 198 199 200 201 202 203 204 205 206 207 208 209 210 211 212 213 214 215 216 217 218 219 220 221 222 223 224 225 226 227 228 229 230 231 232 233 234 235 236 237 238 239 240 241 242 243 244 245 246 247 248 249 250 251 252 253 254 255 256 257 258 259 260 261 262 263 264 265 266 267 268 269 270 271 272 273 274 275 276 277 278 279 280 281 282 283 284 285 286 287 288 289 290 291 292 293 294 295 296 297 298 299 300 301 302 303 304 305 306 307 308 309 310 311 312 313 314 315 316 317 318 319 320 321 322 323 324 325 326 327 328 329 330 331 332 333 334 335 336 337 338 339 340 341 342 343 344 345 346 347 348 349 350 351 352 353 354 355 356 357 358 359 360 361 362 363 364 365 366 367 368 369 370 371 372 373 374 375 376 377 378 379 380 381 382 383 384 385 386 387 388 389 390 391 392 393 394 395 396 397 398 399 400 401 402 403 404 405 406 407 408 409 410 411 412 413 414 415 416 417 418 419 420 421 422 423 424 425 426 427 428 429 430 431 432 433 434 435 436 437 438 439 440 441 442 443 444 445 446 447 448 449 450 451 452 453 454 455 456 457 458 459 460 461 462 463 464 465 466 467 468 469 470 471 472 473 474 475 476 477 478 479 480 481 482 483 484 485 486 487 488 489 490 491 492 493 494 495 496 497 498 499 500 501 502 503 504 505 506 507 508 509 510 511 512 513 514 515 516 517 518 519 520 521 522 523 524 525 526 527 528 529 530 531 532 533 534 535 536 537 538 539 540 541 542 543 544 545 546 547 548 549 550 551 552 553 554 555 556 557 558 559 560 561 562 563 564 565 566 567 568 569 570 571 572 573 574 575 576 577 578 579 580 581 582 583 584 585 586 587 588 589 590 591 592 593 594 595 596 597 598 599 600 601 602 603 604 605 606 607 608 609 610 611 612 613 614 615 616 617 618 619 620 621 622 623 624 625 626 627 628 629 630 631 632 633 634 635 636 637 638 639 640 641 642 643 644 645 646 647 648 649 650 651 652 653 654 655 656 657 658 659 660 661 662 663 664 665 666 667 668 669 670 671 672 673 674 675 676 677 678 679 680 681 682 683 684 685 686 687 688 689 690 691 692 693 694 695 696 697 698 699 700 701 702 703 704 705 706 707 708 709 710 711 712 713 714 715 716 717 718 719 720 721 722 723 724 725 726 727 728 729 730 731 732 733 734 735 736 737 738 739 740 741 742 743 744 745 746 747 748 749 750 751 752 753 754 755 756 757 758 759 760 761 762 763 764 765 766 767 768 769 770 771 772 773 774 775 776 777 778 779 780 781 782 783 784 785 786 787 788 789 790 791 792 793 794 795 796 797 798 799 800 801 802 803 804 805 806 807 808 809 810 811 812 813 814 815 816 817 818 819 820 821 822 823 824 825 826 827 828 829 830 831 832 833 834 835 836 837 838 839 840 841 842 843 844 845 846 847 848 849 850 851 852 853 854 855 856 857 858 859 860 861 862 863 864 865 866 867 868 869 870 871 872 873 874 875 876 877 878 879 880 881 882 883 884 885 886 887 888 889 890 891 892 893 894 895 896 897 898 899 900 901 902 903 904 905 906 907 908 909 910 911 912 913 914 915 916 917 918 919 920 921 922 923 924 925 926 927 928 929 930 931 932 933 934 935 936 937 938 939 940 941 942 943 944 945 946 947 948 949 950 951 952 953 954 955 956 957 958 959 960 961 962 963 964 965 966 967 968 969 970 971 972 973 974 975 976 977 978 979 980 981 982 983 984 985 986 987 988 989 990 991 992 993 994 995 996 997 998 999 1000 1001 1002 1003 1004 1005 1006 1007 1008 1009 10010 10011 10012 10013 10014 10015 10016 10017 10018 10019 10020 10021 10022 10023 10024 10025 10026 10027 10028 10029 10030 10031 10032 10033 10034 10035 10036 10037 10038 10039 10040 10041 10042 10043 10044 10045 10046 10047 10048 10049 10050 10051 10052 10053 10054 10055 10056 10057 10058 10059 10060 10061 10062 10063 10064 10065 10066 10067 10068 10069 10070 10071 10072 10073 10074 10075 10076 10077 10078 10079 10080 10081 10082 10083 10084 10085 10086 10087 10088 10089 10090 10091 10092 10093 10094 10095 10096 10097 10098 10099 100100 100101 100102 100103 100104 100105 100106 100107 100108 100109 100110 100111 100112 100113 100114 100115 100116 100117 100118 100119 100120 100121 100122 100123 100124 100125 100126 100127 100128 100129 100130 100131 100132 100133 100134 100135 100136 100137 100138 100139 100140 100141 100142 100143 100144 100145 100146 100147 100148 100149 100150 100151 100152 100153 100154 100155 100156 100157 100158 100159 100160 100161 100162 100163 100164 100165 100166 100

6. **Fee Calculation (37 CFR 1.16)**

The fee has been calculated as follows:

CLAIMS FOR FEE CALCULATION					
	Number Filed	Number Extra	Rate	Basic Fee 37 CFR 1.16(e)	
Total Claims	57	- 20 =	37	X \$18.00	\$666.00
Independent Claims	21	- 3 =	19	X \$80.00	\$1,520.00
—	Multiple dependent claim(s), if any			+ \$270.00	\$0.00
Filing Fee Calculation					\$2,896.00

7. **Method of Payment of Fees**

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$2,896.00. A duplicate copy of this transmittal is enclosed.

8. **Authorization to Charge Additional Fees**

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. A duplicate copy of this sheet is enclosed.

9. **Additional Papers Enclosed**

- Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations
- Submission of "Sequence Listing", computer readable copy, certificate re: sequence listing, and/or amendment pertaining thereto for biological invention containing nucleotide and/or amino acid sequence.
- A new Power of Attorney or authorization of agent.
- Other: Post card.

10. **Maintenance of Copendency of Prior Application (for continuation and divisional applications)**

[This item must be completed and the necessary papers filed in the prior application if the period set in the prior application has run]

- A petition, fee and/or response has been filed to extend the term in the pending prior application until
- A copy of the petition for extension of time in the **prior** application is attached.

11. Correspondence Address:

Address all future communications to:

Attn: Elizabeth M. Barnes, Ph.D.

Respectfully submitted,
GENENTECH, INC.

By: Elizabeth M. Barnes, Ph.D.
Reg. No. 35,059
Telephone No. (650) 225-4563



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PATENT TRADEMARK OFFICE

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